

10-07-02

2185
#6
BTPlease type a plus sign (+) inside this box →

PTO/SB/21 (6/98)

Approved for use through 9/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(To be used for all correspondence after initial filing)</i>		Application No.	09/944,832
		Filing Date	August 31, 2001
		First Named Inventor	Jacobs
		Group Art Unit	2185
		Examiner Name	
Total Number of Pages in this Submission:		Attorney Docket No.	OR01-03301

RECEIVED

OCT 09 2002

2100

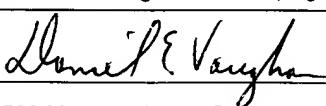
Technology Center

2100

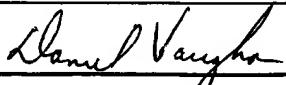
RECEIVED
OCT 15 2002
U.S. PATENT AND TRADEMARK OFFICE**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee attached	<input type="checkbox"/> Assignment Papers for an application	<input type="checkbox"/> After-Allowance Communication to Group
<input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavit/Declaration(s)	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Power of Attorney by Assignee, with Revocation of Former Powers	<input checked="" type="checkbox"/> Additional Enclosure(s):
<input type="checkbox"/> Response to Missing Parts Notice/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input checked="" type="checkbox"/> Return Receipt Postcard <input type="checkbox"/> Check for \$ _____ <input checked="" type="checkbox"/> Copies of 4 references disclosed on sub. form 1449A/PTO
Remarks:  22200 PATENT TRADEMARK OFFICE		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Name	Daniel E. Vaughan (Registration No. 42,199)	Date	October 3, 2002
Signature		Telephone	650/474-1973
Address	702 Marshall Street, Suite 310, Redwood City, CA 94063	Facsimile	650/474-1976

CERTIFICATE OF MAILINGI hereby certify that this correspondence is being deposited with the U. S. Postal Service as Express Mail (No. EV 125 788 153 US) or First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: October 3, 2002

Type or Printed Name	Daniel E. Vaughan	Signature	
----------------------	-------------------	-----------	--

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Attorney Docket No.: OR01-03301

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Jacobs, *et al.*
Application No. : 09/944,832
Filed : August 31, 2001
Docket : OR01-03301
Title : Self-Adaptive Hybrid Cache
Group/Art Unit : 2185
Examiner :

RECEIVED

OCT 09 2002

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.56 and 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed below and/or on an attached form PTO/SB/08A is information known to applicant(s), which is hereby submitted pursuant to 37 C.F.R. § 1.56. The right is reserved to antedate any included publication or patent in accordance with standard procedure.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56.

(New Application) Copies of each listed publication and U.S. and foreign patent, except for pending U.S. applications, are submitted herewith, along with a concise explanation of information in a foreign language (if any).

(Continuation Application) The listed references were cited by the Applicant(s) or Examiner in the parent application, U.S. Serial No. _____, filed on _____. Pursuant to 37 C.F.R. § 1.98(d), copies of these items are not enclosed but may be found in the file history of the parent application.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the application identified above. If form PTO/SB/08A is attached, the Examiner is requested to initial and return it in accordance with MPEP § 609.

37 C.F.R. § 1.97(b). No fee is believed due, because (check all that apply):

(1) It is being filed within 3 months of the application filing date; OR
 (2) It is being filed within 3 months of entry of a national stage; OR
 (3) It is being filed before the mailing date of the first Office Action on the merits.

37 C.F.R. § 1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in § 1.491 in an international application; or (3) the mailing date of a first office action on the merits, but before the mailing date of the earlier of a final office action under § 1.113 or a notice of allowance under § 1.311, then:

a certification as specified in 37 C.F.R. § 1.97(e) is provided below; or
 a fee of \$180.00 as set forth in 37 C.F.R. § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

37 C.F.R. § 1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under § 1.113 or a notice of allowance under § 1.311, but before payment of the issue fee, then:

a certification as specified in § 1.97(e) is completed below; and
 a petition under 37 C.F.R. § 1.97(d) requesting consideration of this statement is submitted herewith; and
 a fee of \$130.00 as set forth in § 1.17(i) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

Statement under 37 C.F.R. § 1.97(e). I hereby certify that either: each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the information disclosure statement; or no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in section 1.56(c) more than three months prior to the filing of the information disclosure statement:

Signature: _____ Date: _____
Daniel E. Vaughan (Reg. No. 42,199)

Respectfully submitted,

Date: October 3, 2002 By: _____
Daniel E. Vaughan (Reg. No. 42,199)

PARK, VAUGHAN & FLEMING LLP
702 Marshall Street, Suite 310
Redwood City, CA 94063
Telephone: (650) 474-1973
Facsimile: (650) 474-1976



Please type a plus sign (+) inside this box. →

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number	09/944,832
Filing Date	August 31, 2001
First Named Inventor	Jacobs
Group Art Unit	2185
Examiner Name	
Attorney Docket No.	OR01-03301

U.S. PATENT DOCUMENTS

RECEIVED

OCT 09 2002

Technology Center 2100

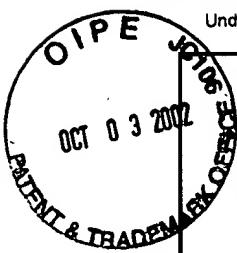
FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. Form 1449
Substitute



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2 of 2

<p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(Use as many sheets as necessary)</i></p>				<p>Complete if Known</p>	
<p>Sheet</p>		<p>2</p>	<p>of</p>	<p>2</p>	<p>Attorney Docket No.</p>
				<p>09/944,832</p> <p>August 31, 2001</p> <p>Jacobs</p> <p>2185</p> <p></p>	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

RECEIVED

OCT 09 2002

Technology Center 2100

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. Form 1449 Substitute